Chapter 12 – Statements of Work for IT Procurements

Chapter highlights

- **Purpose**: This chapter covers the preparation of requirements, scope, and statement of work (SOW) documents used in the acquisition of information technology goods and services.

- **Key points:**
  - The importance of complete, clear and well-developed requirements definition, scope statement, and statement of work documents for information technology (IT) solicitation and contract documents cannot be overstated.
  - The first step in developing a successful IT statement of work is to develop a sound needs assessment or requirements definition.
  - Since the winning supplier will perform the contract following the SOW's requirements, it is critical to include and state all technical, functional, performance and project management requirements and expectations clearly and without ambiguity in the SOW.
  - The SOW content and detail will depend on the nature of the procurement and can range from extremely simple—buying packaged software—to extremely complex—procuring a solution or system design.

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12.0 Introduction

The importance of complete, clear and well-developed requirements definition, scope statement, and statement of work documents for information technology (IT) solicitation and contract documents cannot be overstated. The complexity of the IT acquisition will affect the depth and breadth of these documents. Simple IT hardware or computer-off-the-shelf (COTS) procurements will generally have fewer requirements and more straightforward statements of work than a solution-based acquisition, which may combine requirements for software (COTS or newly developed), hardware and/or services. Performance-based contracts will generally include meatier requirements for gathering, validating and reporting performance metrics since performance results will be tied to supplier payments or other incentives. However, performance-based contracts will generally have less restraining statements of work and requirements documents since they are more concerned with results and outcomes than with how the work is performed. These are two

examples of how requirements and statements of work may vary in complexity and size, but the need to carefully develop these documents does not vary.

The current agency information technology resource (AITR) and project management representative (VITA:Project Management Division Points of Contact) for your agency can be contacted for any assistance in these activities, whether the project is within your agency's procurement authority or must undergo VITA's delegation and agency procurement request (APR) and CIO approval process.

12.1 Developing the IT procurement's requirements definition

The first step in developing a successful IT statement of work is to develop a sound needs assessment or requirements definition. Read chapter 8 of this manual for more information on writing project requirements. Normally, the agency's business owner (i.e., project manager) and a team of technical subject matter experts will prepare the requirements definition, but procurement officials will want to ensure that the requirements have been well-planned and are adequate to define the procurement details in the scope statement and statement of work. The solicitation's scope and/or statement of work will reflect the results of this planning. Below is a table that offers various high-level questions that a project team may need to consider when identifying the project's requirements. The table below provides a generic tool. More detailed guidance consistent with VITA's technology program directives may be found at the following website: VITA:Project Management Templates.

1	What are the project's primary objectives/ goals?	Determine the high-level goals of the procurement including all technical, functional, performance, performance or service-level expectations, schedule, user and customer audience objectives. Include services, hardware, software and licensing requirements. Consider modular or phased projects to accommodate your schedule/budget. Discuss long-term goals or life expectancy of the system/project.
2	What are the project's secondary objectives/ goals?	Determine the mid- and lower-level objectives for technical, functional, performance, performance or service-level expectations, schedule, user and customer audience elements of the procurement. Include services, hardware, software and licensing requirements.
3	What does the project need least?	Be honest in evaluating all unnecessary elements in this procurement, possibly removing results of questions 1 and 2 and moving them to question 12.
4	What is the current environment?	Prepare textual and graphic descriptions of the current technical and user environment, including personnel, other programs, agencies/entities and services affected.
5	What dependencies exist or may evolve?	Provide detail of other internal and external networks, servers, applications and/or systems, interfaces and legacy systems that will be affected by this procurement, including other agencies/entities/users and the VITA Partnership.
6	Is this procurement consistent with agency-specific and the Commonwealth's strategic planning?	Identify any direct or potential conflicts this procurement may create with your own agency's or the Commonwealth's short-term or long-term enterprise strategies or other objectives. Contact your current AITR for assistance with this question.
7	What can be done in-house?	Re-visit questions 1 and 2 and match current staff or roles to the detailed objectives.
8	What does the agency	Answers should include all hardware, software (COTS and/or

	need to procure from external sources?	newly developed), support services, implementation, design, interface development, training, maintenance, etc. Be sure to conduct a search of existing statewide contracts that may serve some or all of these needs (Contract Search).
9	What is the budget?	Define the project's definite and projected budget sources and timing. Include budget sources for out-year support and maintenance and any phased procurement activity, and/or federal funding.
10	What is the in-house estimate?	Developing a work breakdown structure to use as the basis of your estimate is recommended, as this could parlay into the requirements and/or statement of work portions of the procurement documentation (i.e., solicitation and contract). This approach also helps to ensure that all details of the project's life cycle are considered and may offer justification during proposal evaluations. VITA project management division has a template available under the project planning section of this link: VITA:Project Management Templates
11	What is the schedule?	Identify any hard and soft project schedule dates—overall and milestone events to use for any technical dependency concerns and for budget expenditure (and supplier payment) planning.
12	What can we put off buying?	Move answers from question 3 here. Include optional purchases for a next phase acquisition, if appropriate, and possible out-year support and maintenance depending on budget constraints.
13	What are our risks?	Brainstorm and identify all risks that could potentially affect the technical, functional and performance requirements including, installation, implementation, existing or relational applications/systems/user environments, interface development, production, testing, roll-out; budget and financial; schedule; licensing restrictions, etc. Apply mitigation resolutions when possible that could affect your agency, supplier and/or other third-party agencies/agents.
14	What specifications and standards must apply?	Create a document that lists names, numbers, version, etc., and provide links, if available, of all agency-specific, Commonwealth, VITA and/or federal, if federal grants apply, specifications and standards that are required for proper contract performance for all services and/or products being procured.

12.2 Defining the IT procurement's scope

The procurement's scope can now be defined from the results of the needs assessment/requirements definition. Scope is often used to describe the high-level parameters of the IT acquisition; i.e., "a solution to provide data management and automatic routing for incoming requests over a public website," or "a server to accommodate 50 locations of XYZ agency, or "100 scanners that will be distributed to multiple locations around the state." On the other hand, in some environments the term "scope" is often used synonymously with statement of work. In this chapter, scope and statement of work are separate documents, born of clearly separate project planning activities.

Appendix A of this chapter provides a template for creating the project's scope statement, which was developed by the Office of Enterprise Technology as Version 2.0, January 2006.

You can see how some of the results of the requirements definition/needs assessment will flow into this next step and the scope template itself.

12.3 Preparing a quality statement of work (SOW)

Once the requirements definition/needs assessment and project scope are completed (refer to chapter 8 of this manual), the project team will build the SOW, which is the basis for a supplier's proposal response and contract performance. Including a SOW in the solicitation gives each supplier the same information from which to prepare its offer. Since the winning supplier will perform the contract following the SOW's requirements, it is critical to include and state all technical, functional, performance and project management requirements and expectations clearly and without ambiguity in the SOW.

The SOW must be written as a concise, declarative document as it is a statement of the agency's requirements. In non-performance-based SOWs the supplier may be required to perform the work in a specific way, using detailed specifications for production items, specifying key personnel to be provided and methods to be used for service contracts. A well-written SOW should:

- Be a stand-alone document.
- Be crafted in a general-to-specific fashion.
- Be an expansion of detail tailored from the requirements definition results and the approved scope statement and free of inconsistencies and/or conflicting requirements.
- Be individually tailored to consider the period of performance, deliverable items, if any, and the desired degree of performance flexibility.
- Not repeat material that is already included in other parts of the solicitation/contract.
- In the case of task order contracts, the SOW for the basic contract needs only to define the scope of the overall contract.

Additionally, the SOW should describe in detail what the supplier is to accomplish through addressing the four elements—what, who, when, where and how. These four elements should include:

- What is to be done and what are the deliverables/milestones.
- Who is going to do what (agency, supplier, third party CoVa agent, etc.).
- When is it going to be done by deliverable and/or milestone?
- Where will it be done?
- How will it be done and how will the agency know when it is done (i.e., testing and acceptance)?

The SOW content and detail will depend on the nature of the procurement and can range from extremely simple—buying packaged software—to extremely complex—procuring a solution or system design. All SOWs should minimally include the following components:

- **Introduction**—a general description of the procurement.
- **Background**—information that helps suppliers understand the nature and history of the agency, the project, the audience being served and the new requirements. When applicable, include the current and desired technology environment and interfaces with graphic and textual descriptions.
- **Scope**—overview of the SOW that relates the important aspects of the requirements, taken from the scope statement.
- **Applicable directives** (if any)—referenced documents, standards, specifications or directives that are either mandatory or informational for the procurement.
- **Performance requirements**—what is required to be accomplished, the performance standards and the acceptable quality levels.

- **Deliverable requirements**—Technology products, services, software, project and other reports, testing and all deliverables and formal requirements that must be submitted by the supplier during the contract.
- **Quality assurance and acceptance criteria**—Acceptance is the agency's formal, written process to acknowledge that the deliverables conform to applicable contract quality, quantity and other requirements. Acceptance may or may not involve quality assurance processes and typically precedes payment. The procedure for formal acceptance should be provided for any milestone deliveries, as well as final acceptance.

Below is a comprehensive list that provides a selection of considerations for SOW content ranging from simple to complex procurements—from a single IT component to a major systems design. The project team may glean useful reminders from this list even though all of them may not be pertinent to a particular procurement. Many of the details may be pulled from the requirements definition document to ensure completeness and accuracy.

Introduction	This is a general description of the procurement.
Background	Provide information on the agency, the project/program and/or the services that are affected by this procurement. Include graphics of the user environment/flow of information/current business and operating environment.
Scope statement	Retract from the scope statement prepared in step 2 of this process.
Summary of technical, functional and performance objective(s)	Provide a general description of these objectives.
Summary of technical, functional and performance requirements	Provide a general description of these requirements including all desired solutions, products and/or services.
Specific technical, functional and performance requirements	Specific and detailed requirements must be fully described and include desired agency operating architecture/user environment, if known. If supplier will provide this as part of their proposal, then these requirements will be negotiated and finalized as the contract's definitive SOW exhibit. These would include all technical and functional requirements for all software and hardware, the solution and/or the system being procured and include any related services. If requirements development/system design is a deliverable, then this would be finalized prior to final development, implementation and testing and would become a separate deliverable under the SOW.
Requirements development	If this is part of what the supplier will do, so state and include references in the project's milestone schedule and the deliverables listing.
Custom development and test system environment	Same as previous item
Business design and technical design	Same as previous item
Interface/ integration/legacy systems requirements	Same as previous item. The solicitation must provide all known information about these so suppliers can sufficiently estimate and propose approach and be included in the contract's definitive SOW, milestone schedule and list of deliverables.
Data conversion	The agency should know and relay the condition of data that requires conversion. Typically, this can be a high cost and/or

	performance risk vulnerability area.
Bill of material	List all components of software and hardware and expected delivery dates
Testing	Include requirements for any installation, configuration, system, functional, product, beta/production testing and final acceptance testing. Consider carefully the testing duration and environment to emulate a true-to-life test.
Acceptance criteria and acceptance procedures	Include specific acceptance criteria for all deliverables from paper reports to final system turnover. It is advisable to define the agency approval time, supplier resubmit time and so on. Make sure that no conflicting information is provided here and/or in the actual contract language.
Risk management process	Include written requirements/procedures for contract duration and enhance frequency and risk areas (cost, schedule, design/development, interface, etc.) for monitoring/reporting depending on the complexity of the procurement. Written reports/deliverables may also be required.
Quality control/assurance requirements	Describe all requirements for quality control by the supplier, quality assurance and monitoring by the agency or an independent IV&V resource, including all required plans, scheduled reporting and details around the how and when of metrics capture/validation. See Chapter 21 of this manual for an entire discussion of performance-based contracting and service level agreements.
Configuration/change management/engineering decision traceability requirements	Describe/list all required schematics, engineering drawings, plans, documents and other traceability deliverables to continue agency operational independence if necessary and to capture historical experience for future reference.
Project management requirements	Depending on the complexity of the procurement, these requirements can be simple or severe. Project management responsibilities can be shared between agency and supplier or performed by only one of the parties; however, it should be clearly stated.
Training and documentation requirements	May include offsite or onsite training as best-suited for the agency's budget. Include the number of participants, locations, type of training to be accomplished and all details as to trainer-led, train the trainer, classroom, computer or web-based, etc.
Meetings/reviews (design/project status/reviews)	Use for project control and to maintain project integrity and accountability. The supplier may or may not be required to attend; however, if they are they will include travel in their pricing. Virginia Department of Accounts per diem regulations do apply.
Maintainability and reliability and/or support and maintenance requirements	Include all requirements for maintenance and support while under warranty and for any out-years as budgeted and included in the contract. The related support services will normally be based on the supplier's regular commercial offering, unless otherwise negotiated.
Performance/functionality requirements	Include fault isolation, min-max tolerance parameters, mean-time-between failures, environmental conditions, etc. Service level expectations and incentives for meeting them may be included and monitored, for full payment or established percentage reductions to the supplier as necessary to encourage successful performance.

Contract deliverables	List all hardware, software, system/solution, and paper deliverables such as QA/QC plans, configuration control plans, test plans, IV&V plans/reports, monthly status reports, risk assessment plans, project/milestone plans, GANTTs, etc. Include date due, quantity, any required format, media (paper, electronic, CD, DVD, etc.), when due, to whom/where for submission, days agency has to review/accept.
Standards/specifications/ directives	Include all required agency/VITA/COVA/federal, commercial or industry, standards for SEI process, IT accessibility/508 compliance, HIPAA, environmental, packaging, size, format, etc., and specify if these are available for viewing or included as attachments. Be sure to include any baseline drawings or specs, glossary of technical terms, organizational charts, etc.
Govt. or supplier provisions	Specify any equipment, facilities, materials and resources that will be provided by the Commonwealth to the supplier or vice versa for contract performance. Include provide-by dates, transmittal requirements and return procedures.
Project schedule requirements/period of performance	Provide overall term and a milestone schedule (or request a proposed one from suppliers that will be included in any resultant contract) with expected or definite dates (calendar or "days after award"). Take project planning and milestone to the lowest level to best monitor performance status.
Place of performance	If other than supplier location, state the locations and percentage of time at offsite premises; include meeting attendance for supplier.
Special/key personnel requirements	If a requirement is in the solicitation for supplier to provide resumes of key personnel, these individuals can be named in the final negotiated SOW with a requirement for agency written approval for any replacements during the contract term. Include all this language then in the solicitation.
Pricing type	Identify that performance will be based on time & material and/or fixed price; however, the actual pricing schedule will be a stand-alone exhibit to the contract.
Technical point(s) of contact	Provide the names and contact information for the designated project managers and/or technical representatives, updating by contract modification as necessary during contract performance.
Any special warranty requirements	Make sure these do not duplicate any general warranty terms placed elsewhere in the contract document.
Security and/or access requirements	Include all agency/VITA/Commonwealth physical access and data access (hardcopy and electronic) requirements. VITA security requirements are located at this website: http://www.vita.virginia.gov/library/default.aspx?id=537#securityPSGs, and reference to it should be included in the SOW, if applicable to the IT procurement.

12.4 Unique IT procurements

For a full discussion on **solution-based procurements** (subsection 12.4.1 below) please go to chapter 24 of this manual (insert link). For a full discussion on **performance-based contracting** (subsection 12.4.2 below) read chapter 21 of this manual (insert link). Chapter 8 may also provide valuable information. It is highly recommended that procurement officials refer to these additional chapters to follow specific technical/functional/performance requirements and solicitation guidance that is not duplicated here, but that will greatly

impact the approach and time for developing the requirements definition, scope statement and SOW documents.

12.4.1 Solution-based and complex IT procurements

Solution-based RFPS ask suppliers to propose an IT business solution to an agency's identified problems and goals. Solution-based RFPs briefly state the business need, describe the technology problem to be solved, and/or provide minimal specification requirements. The use of solution-based RFPs allows suppliers who are technology subject matter experts to use their broad-spectrum market knowledge, creativity and resources to propose innovative cost-effective technology solutions. Solution-based RFPs may request suppliers to provide a solution for only part of a business problem or to propose high-level concept-type solutions which are evaluated based on a supplier-provided detailed set of requirements.

It is important to minimize requirements and specifications to allow flexibility in the types of solutions being proposed. By their nature, specifications and requirements set limits and thereby eliminate or restrict the items or solutions available for the supplier to include in its proposal. Technology specifications should be written to encourage, not discourage, competition consistent with seeking overall economy for the purpose and technology solution intended. An agency is then able to identify the technology solution, not a particular product or service, which will best meet its technology or business need. Part of the decision-making process of when to use a Solution-based procurement involves performing a risk analysis whereby the project team resolves the following questions:

- Does the technology business problem present an opportunity for mutually beneficial risk sharing between us and a supplier?
- What factors could significantly impact the probability of completing our project on time and within budget?
- Is it possible to evaluate the proposed solutions equally?
- Can the solution(s) be evaluated based on a total cost of ownership analysis incorporating the anticipated cost of supporting the proposed solution and other financial options?

When preparing a solution-based SOW, some components will be different than a non-solution-based SOW. A solution-based SOW should include:

- The agency's organizational background and current business environment,
- A specific list of processes and procedures related to the project, legal or business mandates,
- Any project procedural or process documentation,
- The project's funding source,
- A clear definition of the agency's current technical environment including all current hardware and software being used, could be used or should be used to address the project requirements,
- A definition of the business or technology problem to be solved, but not a definition of the desired solution or the problem in terms of a desired solution,
- Specifications that describe the characteristics of a technology product, service or solution being sought.

Use technology questions to drive specifications instead of including mandatory requirements in the solicitation. The goal is to invite maximum reasonable competition while procuring the best technology solution for the Commonwealth. Pose questions to suppliers in the solicitation to drive requirements, such as: "What is the industry standard for this

product and does your product(s) meet or exceed such standard?" The proposed definitive responses, as negotiated, will then become part of the final SOW in the contract.

12.4.2 Performance-based IT procurements

Performance-based contracting (PBC) is a procurement method that structures all aspects of the procurement around the purposes of the work to be performed instead of describing the manner by which the work is to be performed. PBC allows agencies to acquire products and/or services via contracts that define what is to be achieved, not how it is done. PBC gives private industry the freedom to bring new approaches to the project. When a contract is based on performance, all aspects of the procurement are structured around the mission of the project, rather than the manner in which it is to be done. The procurement seeks to elicit the best performance the private sector has to offer, at a reasonable price or cost, by stating the project's objectives and giving suppliers both latitude in determining how to achieve them and incentives for achieving them.

The SOW will provide performance standards, rather than spell out what the supplier is to do. PBCs normally contain a plan for control and a plan for quality assurance surveillance. In addition, the contract typically includes positive and negative performance incentives. This is accomplished through clear, specific, and objective contract requirements and measurable outcomes, instead of dictating the manner by which the work is to be performed or broad and imprecise statements of work. PBC describes the work in terms of the results to be achieved and looks to the supplier to best organize the workforce to achieve those results. Additional guidelines for preparing the PBC SOW include:

- Express desired performance outputs in clear, concise, commonly used, easily understood, measurable terms.
- Not include broad or vague statements, overly technical language or detailed procedures that dictate how work is to be accomplished.
- Be structured around the project's objective(s) or purpose of the work to be performed; (i.e., what is to be performed rather than how to perform it). (Example: instead of requiring that the lawn be mowed weekly or that trees be pruned each Fall, state that the lawn must be maintained at a height of 2-3" or that tree limbs not be allowed to touch utility wires or buildings.)
- Performance requirements should enable assessment of work performance against measurable performance standards; rely on the use of measurable performance standards and financial incentives in a competitive environment to encourage competitors to develop and institute innovative and cost-effective methods of performing the work.

The most important element of a PBC, and what distinguishes it from other contracting methods, is the results that are desired. Many procurements are directed by the agency in the form of exact specifications or requiring "key personnel" to be assigned to a service contract. Attempts by the supplier to suggest alternative ways of approaching the work are usually rejected with the suspicion that the supplier is trying to reduce costs to increase profits resulting in an inferior outcome. The key attributes of PBC are—outcome oriented; clearly defined objectives; clearly defined timeframes; performance incentives, and performance monitoring. By describing requirements in terms of performance outcomes, and not requiring detailed specifications, agencies can help achieve all of the following objectives:

- Maximize performance—allow a supplier to deliver the required service based on its own best practices and the customer's desired outcome;
- Maximize competition and innovation—encourage innovation from the supplier base using performance requirements;

- Minimize burdensome reporting requirements and reduce the use of contract provisions and requirements that are unique to the state;
- Shift risk to suppliers so they are responsible for achieving the objectives in the Statement of Work through the use of their own best practices and processes; and
- Achieve cost savings through performance requirements.

12.5 Final quality check of the SOW

Below are a questions that will help in the final quality review of the statement of work.

- **Overall**: Does the SOW clearly define and support all agency/project requirements? Is it consistent with the requirements definition and statement of scope documents and does it include specific tasks, work breakdown structure requirements, deliverables, and schedule requirements?

- **Technical, functional and performance requirements**: Are the technical, functional and performance requirements complete and adequately detailed, described and consistent with all agency/project needs and requirements to motivate supplier understanding and success? Have we included all necessary agency/VITA/COVA/federal security, confidentiality, accessibility, technology and/or best-practice specifications, standards and directives?

- **Deliverables**: Do all required deliverable(s) support the project's needs? Are they necessary? Have we included all deliverables including hardware, software, design/development, testing, services, reports, project reporting, status, metrics, etc? Have we included when, where, how they should be delivered? Can we tie them to the technical requirements? Do we want supplier payments to be tied to them?

- **Key personnel**: Do we require and have we identified key personnel or are other supplier staff qualifications and levels needed? Have we clearly identified project points of contact and information for both agency and supplier?

- **Processes and resources**: Have the business and technical processes, resources and/or facilities to ensure satisfactory performance been properly identified and addressed? Do we need supplier process plans for evaluating or measuring supplier performance and status?

- **Inspection and testing**: Does the project warrant inspection and/or testing? Have we addressed the need for this based on the effort's technical requirements, performance specifications, level of compliance, and the need for mitigating performance risks?

- **Acceptance and testing**: Have we included sufficient testing and/or acceptance criteria, including acceptance of deliverables, testing and final acceptance? Are we adopting performance-based requirements, metrics and measurement and are they adequately described? Have we defined if testing or acceptance must occur at varying phases or subsystem completions, prior to implementation/cutover or at the end of performance or on a per deliverable basis? Do these support the technical requirements and performance specifications? What parties should develop the test plans, conduct the tests, and verify test results? Have we included how long the agency will have to test or approve prior to final written acceptance and how long the supplier will have to remedy?

- **Project schedule**: Do the project's overall schedule and/or milestone schedule support the project's requirements? Are the requirements reasonable for the work being accomplished? Have we considered downtime for changes, unforeseen problems or other schedule slips? What is the likelihood of schedule slippage due to interdependency,

- **Reliability and maintainability (RAM):** Are there requirements for RAM or integrated logistics support or upgrades and enhancements? Have these requirements been adequately defined and do they need to include performance specifications?

- **Maintenance / service / training**: Are there requirements for training, ongoing technical support, extended or special warranties, maintenance and/or service? Have all of these and their respective duration and location needs been clearly addressed? Are there any potential conflicts between these requirements and the standard business offerings within the market area of this project?

- **Project reviews and supplier performance management**: Are program reviews or supplier surveillance necessary for monitoring performance? Have we included sufficient requirements for periodic project status reviews, design reviews, or access to supplier's facilities for surveillance visits? Have we established clear performance objectives and service levels, if required? Have we established clear and attainable positive and negative incentives to those performance objectives and service levels? If required, have we included a requirement for a quality control plan from the supplier and/or quality assurance surveillance plan for agency monitoring? Does the solicitation address the need for an independent IV&V resource if one is intended?

Appendix A
Project Scope Statement Template

Project Scope Statement

Prepared by:

Date:

Scope Statement Revision History

Rev.	Rev. Date	Description	Prepared by

The scope statement is an agreement among the project team, the project sponsor and key stakeholders. It represents a common understanding of the project for the purpose of facilitating communication among the stakeholders and for setting authorities and limits for the project manager and team. The scope statement includes relating the project to business objectives, and defining the boundaries of the project in multiple dimensions including approach, deliverables, milestones, and budget.

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A. Executive Summary

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1. **Business Need/Opportunity/Objectives**
2. **Product Description (Solution)**
3. **Deliverables**

C. Project Description

1. **Scope**
   Includes:
   Does Not Include:
2. **Completion Criteria**
3. **Risk Assessment**
4. **Constraints**
5. **Dependency Linkages**
6. **Impacts**
7. **Measures of Project Success**
8. **Assumptions**
9. **Critical Success Factors**
10. **Roles and Project Stakeholders**

Roles

The following role definitions are being applied to the resources assigned to this project:

Project Sponsor	Provides executive team approval and sponsorship for the project. Has budget ownership for the project and is the major stakeholder and recipient for the project deliverables.
Project Owner	Provides policy definition to the Project team. Resolves all policy issues with the appropriate policy owners in order to provide a clear, decisive definition. Makes final decisions and resolves

	conflicts or issues regarding project expectations across organizational and functional areas. The project owner and the project manager have a direct link for all communication. The project manager will work directly with the project owner on all policy clarification.
Project Manager	Provides overall management to the project. Accountable for establishing a Project Charter, developing and managing the work plan, securing appropriate resources and delegating the work and insuring successful completion of the project. All project team members report to the project manager. Handles all project administrative duties, interfaces to project sponsors and owners and has overall accountability for the project.
Steering committee	Provide assistance in resolving issues that arise beyond the project manager's jurisdiction. Monitor project progress and provide necessary tools and support when milestones are in jeopardy.
Stakeholder	Key provider of requirements and recipient of project deliverable and associated benefits. Deliverable will directly enhance the stakeholders' business processes and environment. Majority of stakeholders for this project will be agency heads, CIO's and project management representatives.
Team Member	Working project team member, who analyzes, designs and ultimately improves or replaces the business processes. This includes collaborating with teams to develop high level process designs and models, understanding best practices for business processes and partnering with team members to identify appropriate opportunities, challenging the old rules of the business and stimulating creative thinking, and identifying organizational impact areas.

Stakeholders

Name	Role
	Project Sponsor
	Project Owner
	Project Manager
	Steering Committee Member
	Steering Committee Member

D. Project Approach

Planned Approach

E. Project Estimates

1. Estimated Schedule

Key project milestones relative to project start are as follows:

Project Milestones	Target Date
Project Start	MM/DD/YY
Project Completion	

2. Resource Requirements – Team and Support Resources

The following personnel resources are required to complete this project:

Personnel Resource Types	Quantity
Total Personnel Resources	

3. Estimated Cost

Expense	Original Budget	Current Budget	Spent to Date	Est. to Complete	Current Forecast	Variance
Labor						
Internal						
External						
Hardware						
Software						
Other						
Total						

4. Checkpoint/ Funding Schedule

F. Project Controls

1. **Steering Committee Meetings**
2. **Monthly Status Reports**
3. **Risk Management**
4. **Issue Management**
5. **Change Management**
6. **Communication Management**

G. Authorizations

The Scope Statement will be approved by:

The Project Manager

The Project Lead

The Project Sponsor

Project Changes will be approved by:

The Project Lead

Project deliverables will be approved/accepted by:

The Project Lead

The Project Sponsor

The Key Stakeholders

Specific task responsibilities of project resources will be defined in the Project/work Plan.

H. Scope Statement Approval Form/Signatures

Scope Statement Approval Form

Project Name:

Project Manager:
The purpose of this document is to provide a vehicle for documenting the initial planning efforts for the project. It is used to reach a satisfactory level of mutual agreement between the project manager and the project sponsors on the objectives and scope of the project before significant resources are committed and expenses incurred.

I have reviewed the information contained in this Scope Statement and agree.

Name	Signature	Date

The signatures of the people above relay an understanding in the purpose and content of this document by those signing it. By signing this document you agree to this as the formal Project Scope Statement.